



**To:** Indiana's Workforce System

**From:** Indiana Department of Workforce Development

**Date:** January 31, 2018

**Subject:** DWD Policy 2017-12  
Reemployment Services and Eligibility Assessment

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## Purpose

To formally establish policy for the implementation of Unemployment Insurance Policy Letter (UIPL) No. 3-17 - Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants and UIPL No. 7-16 – Fiscal Year (FY) 2016 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants.

## Rescissions

- DWD Policy 2007-22 Policy Governing the Delivery of Profiling and Reemployment Services to Unemployment Insurance (UI) Claimants and Operating Instructions for Implementing the Initiative

## References

- United States Department of Labor (USDOL) Unemployment Insurance Guidance Letter (UIPL) No. 3-17
- UIPL No. 7-16

## Content

### *Background*

The purpose of the *RESEA* program is to:

- Help UI claimants return to work sooner in a high-wage, high-demand career path;
- Reduce weeks of unemployment;
- Improve the solvency of the UI trust fund; and
- Reduce fraudulent UI claims and overpayments.

## ***RESEA Program***

The RESEA program (which includes Subsequent RESEA (“SUB RESEA”)) provides an opportunity to reach more potential UI claimants and make them aware of services provided in the WorkOne system in order to decrease the amount of time until suitable reemployment is obtained.

### **Programmatic Authority**

- **Reemployment Services (RES) Program**  
The Director of RES Programs (RESEA, SUB RESEA & Jobs for Hoosiers) has the final interpretation as to the meaning and application of this policy or any other rules, regulations and/or guidance from any federal, state, or other source.
- **Director of RES Programs Approval**
  - Director of RES Programs approval as referred to anywhere in this policy signifies approval by the Director of RES Programs and/or their designee.
  - The following must be approved by the Director of RES Programs:
    - Policy
    - Technical Guidance
    - Training, handouts and/ or webinars
    - Reference Guides and/ or tools
      - Regions may develop program tools but are strongly encouraged to obtain DWD program staff guidance to ensure compliance.
    - RES Programs Funding
    - Outgoing DWD communication to regional leadership and/or staff
    - Any item in this policy referring to the requirement for approval

### **Accuracy, Timeliness, and Attention to Detail**

- **Accuracy**  
All work must be completed accurately.
- **Timeliness**  
All work must be completed on time as stated within the guidelines provided in this policy. If this is not possible, the reason(s) for this must be case noted in ICC.
- **Attention to Detail**  
All work must be completed with due diligence towards checking to maximize accuracy and ensure all pertinent information has been processed, as stated within the guidelines provided in this policy.

### **Claimant Selection**

Claimants selected for RESEA are those most likely to exhaust their current UI claim. The selection process is based on the Workforce Profiling Reemployment Services (WPRS) model, administered by USDOL and the Director of RES Programs.

- **Uplink**  
The DWD Uplink UI system houses and runs the RESEA selection algorithm based on the WPRS model each Sunday afternoon and exempts or assigns a profiling score to each claimant. Uplink then sends the file of all UI claimants who have filed their fourth (4<sup>th</sup>) weekly UI claim to Indiana Career Connect (ICC) each Sunday evening.

- **ICC**

ICC Assigns claimants to scheduled program orientation events. (See below section titled "RESEA Process Flow" for claimant pool and notification).

- **Updates**

A good faith effort will be made by the Director of RES Programs to update regional leadership in a timely manner as to any substantive changes to this process.

## **Funding**

### **Federal Funding**

DWD receives funding for RESEA from the United States Department of Labor (USDOL). Funding guidelines come in the form of a UIPL, typically released sometime between the last quarter of a program/calendar year and the first quarter of the following program/calendar year. DWD conducts an analysis to determine program goals for the coming program year. DWD compiles a grant application and submits it to USDOL by the deadline specified in the UIPL. Federal funding levels are based on a variety of factors that may include, but are not limited to: Regional, State, and National economic outlooks, Unemployment Rates, Regional, State, and National RESEA claimant volume, efficiency, Entered Employment Rates (EER), Employment Retention Rates (ERR), Average Wages (for 4 quarters after quarter of reemployment), pilot programs and innovation.

### **Regional Funding**

DWD conducts an analysis which may be based on some, none, all, and/or additional factors as referenced in the above section titled "Federal Funding" to determine regional funding. Regional funding is disbursed, in the amounts determined by the Director of RES programs, by DWD Grant Accounting through a sub-grant process.

- **Administrative and Program Provision Funding**

DWD will annually determine if part of the regional funding may be used for administrative expenses related to the program. The status of what percentage of funds, if any, that may be used for administrative expenses related to RESEA will be communicated in the Scope of Work (SOW) contained in the grant from DWD.

- If the percentage of regional funding as outlined in the SOW contained in the grant from DWD is zero, then all funds must be used for program provision.
- If the percentage of regional funding for administrative costs related to RESEA as outlined in the SOW contained in the grant from DWD is greater than zero, the region may, but does not have to, use up to the amount based on the specified percentage, for administrative costs related to RESEA.
- Funds not used for administrative expenses related to RESEA must be used for RESEA program provision.

- **Initial Program Year Funding**

Due to the varying nature of the federal budget and/or continuing resolution processes, it is impossible to say exactly if and/or when funding to cover RESEA expenses related to administration and/or program provision, prior to the actual and/or additional award of RESEA funding from USDOL to DWD, also known as "initial program year funding," will be available. Typically initial program year funding is made available by USDOL. DWD will update regional readership on a good faith basis but makes no guarantee as to the availability and/or timing of the distribution of such funds.

- **Number and Timing of Distributions**

Due to the varying nature of the federal budget and/or continuing resolution process, it is impossible to say exactly how many and/or when the RESEA regional funding distribution(s) will be made. DWD will make every good faith effort to communicate reasonable expectations to regional leadership and to make funding available for use by the regions as promptly as possible.

- **Funding Adjustments**

DWD acknowledges the importance of funding stability for budgetary and other planning purposes; however, DWD reserves the right to adjust regional funding levels as needed based on some, none, all, and/or additional factors as referenced in the above section titled “Programmatic Authority.”

- DWD will not make an adjustment of more than 10% of total Program Year (PY) regional funding, as communicated by the Director of RES Programs to regional leadership based upon the award of federal funding to DWD from USDOL, provided the amount awarded is equal to the amount of program funding actually received by DWD.
- Adjustments, if any, will be communicated by the Director of RES programs prior to the beginning of the fourth quarter of each current program year i.e. by September 30<sup>th</sup> beginning with PY18.

- **Program Continuation**

While there is not one hundred percent certainty that the RESEA program will be continued by USDOL, DWD believes there is a very high probability that RESEA will continue for the foreseeable future based on the expansion of the program over the past several years and the mandatory requirement of all 50 states provide RESEA which went into effect January 1<sup>st</sup>, 2017. DWD will make every good faith effort to communicate potential changes from this position to regional leadership within a reasonable timeframe for planning purposes.

## **Accounting**

All RESEA funds received and all funds expended by the region for RESEA, must be reported to DWD Finance on a monthly basis by the 15<sup>th</sup> of each following month, to aid in compiling the Accrued Expense Report. This information, along with claimant volume reports, helps DWD conduct funding analyses and determine funding amounts for each region.

## **RESEA Locations**

The RESEA program will operate in each comprehensive WorkOne Center. One Stop Operators are encouraged to offer the program in WorkOne affiliate offices, where feasible. With the exception of unemployment insurance adjudication activities, RESEA services may be provided by both DWD state staff and regional staff. UI adjudication activities must be provided by authorized state staff.

## **Staff Training**

- **Training Authorization**

All training must be approved by the DWD Director of RES Programs prior to presentation.

- **Frequency**

Staff providing services to RESEA claimants will receive RESEA training at least annually.

- **Training Format**

Training will be provided in the format deemed most appropriate to accomplish program needs which may include in-person, webinar, reference guide, technical assistance, technical guidance, Field Operations Resource Portal, other formats or any combination thereof.

## **Technical Guidance**

- **Technical Guidance Authorization**

All technical guidance must be approved by the DWD Director of RES Programs prior to distribution.

- **Frequency**

Technical guidance will be provided on an as needed basis as determined by the Director of RES programs.

- **Requests for Guidance**

Regions may request technical guidance by emailing the Director of RES programs who will determine how best to respond and if statewide technical guidance is necessary.

- **Naming Convention and Circulation**

- **Naming convention**

Consists of: Program Name, the initials of the Document Type i.e. "TG" for Technical Guidance, Technical Guidance Number for the program year, Program Year, Title and date of issuance DDMMYYYY. I.e.

**RES\_PY18\_TG-01\_SUB RESEA Reassessment Interview\_13JAN2018**

- **Distribution**

Distribution of Technical Guidance will occur by email to regional leadership and will be posted in the RESEA folder on the Field Operations Resource Portal.

## **Monitoring**

IN DWD RESEA and Jobs for Hoosiers (JFH) program staff will conduct monitoring on RESEA and JFH in each Indiana workforce region a minimum of once per program year and more frequently if deemed necessary by IN DWD program staff.

- **Purposes of monitoring**

- Ensure the programs are being administered in accordance with all relevant policy and guidance from the United States Department of Labor (USDOL) and IN DWD.
- Identify best practices that can be shared with other WorkOne offices within Indiana, USDOL and other states and/or regions to improve program provision and outcomes.
- Identify areas of improvement broken down into observations and findings.
- Encourage the development of innovative solutions for any areas of improvement.

- **Monitoring Composition**

- Will be determined by DWD program staff
- Request by IN DWD program staff to pull a number of claimant paper files (if part or all of the claimant file is not stored electronically in ICC) as deemed appropriate.

- Provision of suitable time in a suitable space in an agreed upon regional location for the on-site review of the claimant files and/or any other information requested under this policy.
  - Review by program staff of a number of electronic claimant files in ICC, as deemed appropriate.
  - Review of any regional policies, procedures, tools, guides, training, and information from any IN DWD system or other documentation impacting the provision of the programs.
  - Interviewing regional leadership and/or staff.
  - Any other action deemed necessary by IN DWD program staff to fulfill the purposes listed in the above section titled “Accuracy, Timeliness and Attention to Detail.”
- **Monitoring Results**
    - Monitoring results will be listed as Best Practices as well as Observations and/or Findings depending on frequency and significance of any issues found as determined by IN DWD program staff.
    - Monitoring results will be provided in a RESEA/JFH Monitoring Report for each region.
    - The RESEA/JFH Monitoring Report may include other relevant items as determined by the Director of RES Programs or their designee, but will typically include:
      - Table of Contents
      - At a Glance
      - RESEA Comprehensive Review
      - Introduction
      - Methodology
      - Best Practices
      - Scheduling
      - Services and Engagement
      - Failure to Participate
      - Documentation
      - Summary of Results
      - Conclusion
      - Appendix A: Random Sample (Alphabetically by Last Name)
      - Appendix B: Observations and Findings Claimant List
      - Appendix C: Regional Response
    - An electronic copy of the RESEA/JFH Monitoring Report for each region will be provided to the appropriate regional leadership.
    - An Exit Meeting and/or conference call will be held once the RESEA/JFH Monitoring Report has been compiled, an electronic copy has been delivered, and the region has had sufficient time to review or one week.
      - RESEA/JFH Monitoring Reports will be reviewed with regional leadership and any staff they designate.
      - Any corrections approved by IN DWD program staff will be noted, completed and a revised copy of the report will be provided to regional leadership electronically.
- **Finding/ Observation Resolution**
    - Resolution of Observations and/or Findings will be completed by regional leadership or their designated staff in accordance with instructions provided in the RESEA/JFH Monitoring Report and any instructions or clarifications conveyed by IN DWD program staff.
      - Regional responses will be noted.
      - IN DWD program staff will determine if regional responses are sufficient.

- A Resolution Report containing any unresolved observations or findings will be listed with instructions on what is missing or clarification on how to address the observation and/or finding will be sent to regional leadership electronically.
- Region will provide new and/or revised responses to the indicated items to IN DWD program staff within the stated timeframe or agreed upon timeframe.
- The process contained in this section will be repeated until IN DWD program staff deem all findings resolved and send an electronic copy of the RESEA/JFH Monitoring Final Resolution Report to regional leadership.

## **Self-Monitoring**

### **• Frequency**

Each Indiana workforce region shall conduct self-monitoring of RESEA and JFH overseen by regional leadership on at least a quarterly basis.

The frequency of self-monitoring may be adjusted if:

- A request by regional leadership to IN DWD program staff is approved, or
- IN DWD program staff deem a frequency change is recommended based on regional performance on any reporting and/or previously conducted monitoring and/or self-monitoring.

### **• Self-Monitoring Tools**

Beginning in PY18 (April 1, 2018), regional self-monitoring will be conducted by staff delegated by regional leadership to do so. This must be done using tools and instructions provided by IN DWD program staff.

- Modifications to these tools and instructions may be made with the approval of IN DWD program staff.

## **Time Charging**

### **Wagner-Peyser (WP) Staff**

- Each request will be reviewed on a case-by-case basis. If approved by the Director of RES Programs and the Director of WP, then approved WP staff may charge time to RESEA for any RESEA claimant case management activity as stated in the below section titled “RESEA Coordination,” as long as it equals less than 100% of their time.
- WP staff cannot charge time to RESEA for RESEA Coordination Activities on a regular basis, as stated in the below section titled “Front Desk Staff Assistance.” This is only allowable in emergency, short-term, coverage situations.
- Appropriate levels of RESEA funding will be held in reserve from RESEA Regional funding by DWD to pay for any billing to RESEA by approved WP staff.

### **Regional Staff**

Regional staff should follow their organization’s time charging policy and bill their time appropriately to RESEA funding granted to the region by DWD.

### **RESEA Activity**

Time charged to RESEA must be for RESEA activity.

## ***RESEA and SUB RESEA Functions***

### **Scheduling properly, timely**

Claimants will be scheduled by ICC Automated Scheduling System every Tuesday and Friday of each week on a FIFO (First in, First Out) basis. Each region is responsible for ensuring they have the maximum possible event space set up in ICC prior to the scheduling process running. If they do not have enough space to accommodate all claimants, they must add more space, if possible, prior to the next scheduling process running. If there is a system or other issue that prevents the automated scheduling process from running, DWD will email each region's claimant list so each office can manually add claimants to events.

### **Letter Printing & Mailing**

Letters must be printed and mailed to claimants on Tuesdays and Fridays, as early as possible. Each region must pay for postage from their RESEA funds. In the event there is a system or other issue that prevents the automated scheduling process from running, WorkOne staff will manually print and mail the letters once the claimants have been manually scheduled.

- Email notification of program selection is planned to be implemented in PY18. Once email notification is running:
  - The email address used will be the same as the email address entered into ICC or Uplink when filing for UI or it will be the email address most recently updated by the claimant in ICC.
  - Letters will not be printed and mailed as a normal course of operations, but may be done manually should the need arise.
  - Email notification will be sent seven (7) to eleven (11) days before the scheduled event so that claimants will have a minimum of seven (7) days advance notice of the day they are to report to the WorkOne Center.

### **Failure to Participate (FTP)**

Claimants failing to report for any RESEA (Initial or Subsequent) event or refusing to complete the required services or assignments without good cause by notifying the state before the event or due date, must be referred the same day as the FTP to UI Adjudication to be adjudicated under state UI law. The claimant will be subject to denial of and/or suspension of benefits until such time as they participate in the required services. To submit an FTP to UI, the Case Manager must:

- Confirm claimant waiver status – If documentation of valid waiver reason exists, enter RESEA waiver if not already done.
  - Check Training Plan Profile under My Individual Plans on the ICC claimant main menu screen.
  - Check ICC case notes for documented approval of training.
    - Note - for Trade Adjustment and Assistance (TAA), an approval case note from the Dislocated Worker Unit serves as acceptable documentation for having a RESEA Approved Training waiver entered. TAA Case managers will send the RESEA Coordinator an email whenever they receive an approved TAA training plan requesting a RESEA Approved Training waiver be entered.
  - Check ICC case notes for documentation of other waiver reasons (Union Hiring Hall, Return to Work Date within 60 days, moved out of state).

- Case managers must notify their RESEA Coordinator via email if claimant's waiver status changes i.e. not in training, etc. so claimant can be manually scheduled for their next RESEA or SUB RESEA requirement.
- If claimant has a valid RESEA waiver reason, do not process FTP.
- If claimant does not have a valid RESEA waiver reason, add the FTP to the UI Daily Spreadsheet.
- Make sure the correct full SSN is printed clearly at the top of the each document to be faxed to Imaging as proof of FTP (Claimant's notification letter, sign in sheet, and any other relevant documents).
- Make sure the UI Daily Spreadsheet has the correct last 4 numbers of the Social Security Number (SSN) and is emailed to [DWD REA Issues@dwd.in.gov](mailto:DWD_REA_Issues@dwd.in.gov).
- Fax and Email documentation before 3pm on the day that the FTP occurs.
- Case note what was sent, when, to who, by whom, and for what purpose.
- Fax required information and documentation to UI Adjudication the same day as the FTP.
- Ensure all information is accurate and that no duplicate FTPs are sent to UI Adjudication.
- Store all information sent to UI especially the confirmation page from the fax, electronically and or paper hard copy.
- Have a method to afford easy access to documentation sent to UI to prove what was sent, to whom, when, and for what reason.

### **Issuing Waivers**

Any change in waiver status (adding, amending reason, or revoking) must be added to the UI Daily Spread and submitted to UI the same day staff are advised of the waiver action and receiving any required documentation.

- **Waiver Reasons**  
Claimants may be waived from participation in RESEA at any point in their UI claim if they meet any of the following criteria:
  - Enrolled in full time training approved by the Department of Workforce Development (DWD), including Wagner-Peyser, WIOA (Workforce Innovation and Opportunity Act), TAA, and Vocational Rehabilitation (VR) funded training.
  - Seeks work solely through a union hiring hall and is a member in good standing.
    - Claimant only needs to state this to staff.
    - This should be case noted.
    - DWD UI handles confirmation of standing, adjudication of any issues and emails the appropriate RESEA Coordinator to complete the revocation of the claimant's RESEA waiver.
    - When a RESEA – Union Hiring Hall Waiver is revoked, the RESEA Coordinator must also contact the claimant the reschedule them for their next RESEA or SUB RESEA requirement.
  - Has a definite return-to-work date, within 60 days of the original separation date.
  - Moved out of state.

### **Exemptions**

***\*\*NO Manual Exemptions of any kind may be processed\*\****

### **Revoking Waivers**

If it comes to the attention of WorkOne staff that the claimant's waiver reason is no longer valid, the waiver must be revoked unless authorized by the DWD Director of RES Programs or the RES

programs Manager. Waiver revocation must be added to the UI Daily Spreadsheet and emailed to UI adjudication, and any other relevant documentation must be faxed to UI Adjudication, the same day it occurs. If a waiver is revoked, the claimant picks up where they left off in the RESEA process.

**Example:** Claimant gets waived after completing the Orientation, Initial Assessment Interview and first bi-weekly meeting because they are Returning to Work (RTW) within the next 60 days. The job falls through 30 days later so the RTW waiver is revoked and the claimant must be scheduled for a second bi-weekly meeting, and proceeds from there.

## **Transfers**

All interregional and intraregional claimant transfers must be completed according to the most current DWD Transfer Guide. <https://webapps.dwd.in.gov/fieldOps/content-flow.htm?execution=e4s1>.

>Programs > RES Programs > 2017 RES Transfer Guide for RESEA JFH Programs\_26OCT\_2017 CL

## **TORQ**

This assessment is required to be administered and discussed with all RESEA claimants for at least one occupation of interest. TORQ counts as one of the two required RES Workshops. The industry and/or occupation shared with the claimant must be case noted in ICC. It is only required to case note that TORQ was administered and what the main occupation or industry of interest is (scanned copy not currently required).

## **Meetings**

The program requirements must be completed with the claimant as explained in this policy. Assessment Interviews, Bi-Weekly Meetings, and Reassessment Interviews should be conducted by the case manager and claimant on a 1:1 basis. Meetings such as Orientation or Reemployment Workshops may be conducted in a group setting. All 1:1 meetings should deliver individual case management.

Claimants must be advised of the requirement to attend Bi-Weekly, SUB RESEA or other required meetings in person. It must be case noted in ICC that the claimant was advised of this and acknowledged the requirement.

## **Labor Market Information (LMI)**

LMI must be reviewed with the claimant at the Initial Assessment Interview and during the SUB RESEA Reassessment Interview. It should be based on conversation with claimants regarding interests, aptitudes, transferrable skills, and experience. These attributes are measured through assessments i.e. TORQ and others. The industry and/or occupation shared with the claimant must be case noted in ICC by stating what type of LMI was provided (e.g., "Provided claimant ONET information on registered nursing").

## **Service Entry**

All RESEA and SUB RESEA services, except those related to FTP, (which must be entered the same day that they occur) must be entered in ICC within two business days from when the event or action occurred. Services must have the correct completion code so that claimant activity can

be tracked. If it is necessary to enter a service late or to correct a service, a case note must be entered by the person entering the case note to document the reason(s) for the correction(s) and what changes were made.

- **Staff Authorization** - RESEA services may be provided by regional staff or state staff as outlined in the above section titled "Time Charging" or in any of the three sections that follow entitled "Case Management," "RESEA Coordination," and/or "Front Desk Assistance."
- **ICC Entry** – All services that are scheduled but have not occurred yet should not have a completion code and actual end date unless the service is just the scheduling (i.e. R07 RESEA – Scheduled – Reemployment Workshop, in which case the action is done and the correct completion code and actual end date should be entered).
- **Staff Entry** - All services should be entered by the staff person completing the action. If entered by data entry or other staff, the case note must identify who delivered the actual services (full name and contact information).
- **Timeframe** - All services, not related to FTP must be entered with the correct completion code, within one to two (1 -2) business days with an appropriate case note. FTP services must be entered the same day that the FTP occurred.
- **Case Note** – All services entered must be accompanied by an appropriate case note as stated in the below section titled Case Notes.

### **Case Notes**

Case notes should be factual, concise and convey all relevant details regarding who, what, when, where, why, and how something occurred.

- All case notes should be entered by the staff person completing the action. If entered by data entry or other staff, the case note must identify who delivered the actual services (full name and contact information).
- Case notes must be entered within one to two (1 -2) business days of when the event or action took place, except for those related to an FTP, which must be entered the same day that the FTP occurred.
- If a case note cannot be entered in the above timeframe, then the case note should be entered at the earliest opportunity along with the reason(s) for this.
- It is only required to case note that TORQ was administered and what the main occupation or industry of interest is.
- Should paint a clear picture of what occurred for someone totally unfamiliar with the situation in the event of an appellate case.

### **Claimant Communication**

- **Reminder Calls** - Case Managers should attempt to contact each claimant by phone for a reminder call one to two (1-2) business days before the RESEA Orientation. If they cannot be reached by phone, an email or ICC message should be sent. A case note must be entered in ICC to document details of the reminder call (Communication) attempt, including the phone number called, type of number (cell, home work, etc. or email address or ICC message, depending on the method of communication), the reason for the call, the name and response of the person who took any messages, as well as the date and time of the call.
- **Job Logs** - Job Logs may be emailed or faxed to a case manager prior to a bi-weekly meeting, however; claimants must be advised that they need to keep a personal copy of all work search efforts and must report in person for all bi-weekly meetings. It must be case noted the claimant has been advised of this. Jobs Logs must be easily retrievable

by either scanning into ICC or a copy may be placed in the claimant's paper file (if one exists).

- **Required documentation has been signed, stored and/ or scanned** - Any documentation handed, emailed, mailed, faxed, or brought in must be documented with a case note and a copy scanned into their ICC profile or a copy kept in their paper file if one is used. Paperless documentation is preferred, when available.

### **Additional Assignments**

Case Managers should give claimants any reasonable additional assignments they believe are necessary to improve the claimant's job search and towards accomplishing the purpose of RESEA, as referenced in the above section titled "Background." They may include, but are not limited to: LMI research, assessments other than TORQ, job shadowing, training, workshops, additional meetings, etc. These should be SMART goal oriented (Specific, Measureable, Achievable, Realistic and have a Time frame). These are added in the Individual Reemployment Plan (IRP) and become program requirements.

### **Completion Reviews**

"Forty-five (45) Day" and "Final" (After SUB RESEA) reviews do not have to be conducted on a specific day. Usually the "Forty-five (45) Day" review is conducted somewhere between 40 to 50 days from the claimant's selection date. The reviews do not have to be done with the claimant present. The case manager must make sure that all requirements and additional assignments have been completed satisfactorily after initial RESEA and SUB RESEA. This needs to be case noted in ICC. If the claimant has not completed everything satisfactorily, the case manager must submit an FTP the day of the review and try to contact the claimant to resolve the deficiencies.

### **Case Management**

Case management is defined as a staff member working one-on-one with an individual RESEA claimant to assist them in addressing their specific employment situation by gaining suitable reemployment at the earliest opportunity, regardless of whether or not the staff member is permanently assigned to the individual. It also encompasses conducting individual case management for SUB RESEA activities. Examples of case management activities might include:

- **Conduct in-depth interviews** - with job seekers to gather/evaluate information concerning work history, education, training, employment goals, employment barriers etc.
- **Identify needs** - to refer job seekers to other relevant supportive services, programs and/or organizations to obtain assistance relevant to the pursuit of employment.
- **Provide/ arrange the provisions of services** - as identified in the IRP.
- **Provide/ arrange the provision of short-term prevocational services** - including development of learning skills, communications skills, interviewing skills, time management skills, personal maintenance skills, and professional conduct to prepare individuals for employment or training in a workshop or one-on-one setting.
- **Any function included in Section RESEA and SUB RESEA Functions of this Policy** – with the exception of subjects covered in the two sections below titled "RESEA Coordination" and "Front Desk Staff Assistance."

## **RESEA Coordination**

RESEA Coordination comprises tasks for RESEA claimants related to and/or completed in a group setting, i.e. scheduling and conducting a WorkOne Orientation. It may also encompass conducting Initial Assessment Interviews or individual case management for RESEA and/or SUB RESEA.

## **Front Desk Staff Assistance**

Front Desk Staff may assist RESEA claimants in the following ways (this list is non-exhaustive):

- Greet customers and review ICC customer data.
- Check of IDs and updated information in ICC, as they would do with all other customers.
- Assist with Completion of TORQ for RESEA claimants as they are in the common area of services.
- Monitor and document progress of customers in the Information Resource Area.
- Identify the need for and refer job seekers to other supportive services, programs and/ organizations to obtain assistance relevant to the pursuit of employment.
- Promote professional communication practices in email.
- Disseminate information on Job/Hiring Fairs or Events for talent recruitment.
- Assist job seekers in utilizing self-help computer systems including ICC, ICE, and TORQ.
- Assist in questions concerning the VOS system.
- Assist job seekers in completing online survey tools.
- Assist, when requested, with tours and informational overview(s) of the office, business activities, and assets of the system for local, state and federal officials.

## **Enrollment in Wagner-Peyser**

All RESEA claimants must be enrolled in WP.

## **Co-Enrollment in Workforce Innovation and Opportunity Act (WIOA) Dislocated Worker (DW) or Other Available Programs**

RESEA claimants may be co-enrolled in WIOA DW, TAA, or other available programs as appropriate; however, it is not required under RESEA.

## ***RESEA Process Flow***

### **Initial RESEA**

An individual who files for unemployment insurance (UI) benefits, known as a claimant, may be selected for participation in the RESEA program no later than the fourth (4<sup>th</sup>) week of filing for UI benefits. The claimant must appear when scheduled and complete the WorkOne Service Orientation and Initial Assessment Interview no later than the eighth (8<sup>th</sup>) week of filing for UI benefits, except for good cause as stated under Indiana Code § 22-4-14-2(b). All aspects of the RESEA program are mandatory. Failure to comply will place claimant UI benefits in jeopardy pending UI adjudication.

During periods of high claim activities when the number of selected claimants for RESEA exceeds the weekly capacity of an office, an exception of up to the eight (8) week RESEA completion deadline will be warranted. In these cases, WorkOne Centers may schedule claimants up to two (2) weeks in the future to ten (10) weeks, to manage the workload. Any other scenarios must be approved by the Director of RES Programs.

## Claimant Pool and Notification

ICC will generate a 'pool' of claimants selected for RESEA each week from those claimants who have filed for a fourth week of UI benefits (*15<sup>th</sup> week for SUB RESEA*).

- Each WorkOne office providing RESEA services must create an adequate number of events with sufficient capacity to serve those selected for RESEA and SUB RESEA in that location.
- Claimant pools must be managed and necessary adjustments made to events and event capacity every Monday and Thursday prior to the End of Business (EOB) on those days. This allows ICC to incorporate the adjustments into the automated scheduling process that run on those evenings.

## Mail

Program notification letters will be printed and mailed at such a time (14 to 22 days before the scheduled event) that claimants will have a minimum of seven (7) days advance notice of the day they are to report to the WorkOne Center.

- Only notification letters approved by the Director of RES programs from ICC may be sent.
- Letters must be printed and mailed to claimants every Tuesday and Friday before 12pm noon, instructing UI Claimants to complete the following:
  - Register in Indiana Career Connect (ICC),
  - Create or upload a suitable resume In ICC that is searchable by employers,
  - Complete a work search log for the last four (4) weeks, AND
  - Report to a WorkOne Center for the WorkOne Services Orientation and Initial Assessment Interview.
- Email notification of program selection is planned to be implemented in the near future. Refer to above section titled "Letter Printing and Mailing" for further detail.

## Orientation

- Claimants must report to the WorkOne office listed on the notification letter for Orientation and Initial Assessment Interview and they must sign in.
  - If the claimant does not report as instructed or if the claimant fails to participate in any requirement of the program, then the appropriate staff RESEA Coordinator must complete the FTP function as outlined in the above section titled "Failure to Participate."
- WorkOne staff must verify claimant identity with a valid state or federal picture ID.
  - An affidavit will be provided for those claimants without suitable identification.
  - The requirement to return with suitable ID will be added to the IRP.
  - The claimant will be required to provide suitable identification by the first biweekly meeting to prevent FTP.
- On Orientation day, WorkOne staff will determine whether each claimant has completed the required activities.
  - If the claimant has not, staff should direct them to do so prior to attending their Initial Assessment Interview.
  - Over-the-shoulder assistance will be made available to claimants if needed.

## Initial Assessment Interview

- Conduct Initial Assessment Interview (1:1 with RESEA case manager).
  - Covering job search topics in a group setting is acceptable. However, there will be some job search topics that require individual attention. UIPL 3-17 Section 8 addresses the requirement to provide "an appropriate level of service suited to each individual claimant."

- Discuss relevant details of the claimant's career path and identify hidden barriers to reemployment.
- Complete a WP application and be enrolled in WP.
- Review and document Job Search Log activities from the past four (4) weeks.
  - A copy of all job search logs must be kept in the claimants paper file and/or scanned into the documents section of their ICC profile.
- Be provided Labor Market Information (LMI) and career information that addresses the claimant's individual needs (TORQ).
- Develop Individual Reemployment Plan (IRP)
  - The IRP must be tailored with specific steps to meet claimant's individual needs that are most likely to result in reemployment or referral to career-related training.
    - This includes work search activities, accessing WorkOne services or using self-service tools, scheduling a minimum of two reemployment services workshops (TORQ counts as one of the two workshops) and/or approved trainings.
      - Initial Reemployment Workshops should occur as soon as possible within four (4) weeks from the initial assessment interview and prior to second bi-weekly meeting.
      - Any initial additional assessments and/ or assignments should occur as soon as possible preferably within four (4) weeks from, initial assessment interview prior to second bi-weekly meeting.
      - Any other additional assessments and/ or assignments after the second bi-weekly meeting should occur as soon as possible.
    - Must have the claimant's and case manager's original signature and date showing when the document was created and/or updated.
    - Case Manager must give claimant a copy of the signed and dated IRP and case note this was done.
    - Case Manager must keep the original signed IRP and store it as a scanned image in the document section of the claimant's ICC profile or store it in the claimant's paper file and case note this was done.
- Schedule and Conduct Two (2) Bi-Weekly Meetings.
  - Advise claimant they must attend the bi-weekly meetings in person. This must be case noted.
  - Conduct Bi-Weekly Meetings as scheduled.
    - Review and document Job Search Log activities from the past two (2) weeks at each bi-weekly meeting.
      - A copy of all job search logs must be kept in the claimant's paper file and/or scanned into the documents section of their ICC profile as referenced in above section titled "Initial Assessment Interview."
    - Refer claimant, as appropriate, to other career services.
    - Make any additional assignments deemed necessary by the case manager.
  - Follow-up with claimant and ensure all requirements have been completed.
- Conduct a 45 Day Review to ensure claimant completed all Initial RESEA requirements as well as any additional assignments. Make sure this has been case noted in ICC and documented clearly in paper and/ or electronic files.
  - A 45 Day Review should be conducted by the case manager without the claimant present.
  - A 45 Day Review does not have to be done on exactly the 45<sup>th</sup> day but is usually done sometime between approximately 40-50 days depending on

what individual meetings, services, training, and/or assignments have been included in the claimants IRP.

- Clear documentation means evidence or proof, whether in electronic or paper format, that demonstrates the claimant's satisfactory completion, or lack thereof in regards to a program requirement.

### **Progress**

WorkOne staff will review work search documentation to determine whether unemployment insurance claimants are making acceptable work search efforts based on the individual claimant's experience, education, and/or relevant labor markets. If acceptable work search efforts are not being made, WorkOne staff should explain the requirement in DWD Policy 2011-04, Continuing Eligibility for Regular State Unemployment Benefits. Unemployment insurance claimants seeking work search assistance should be directed to job seeking skills workshops offered in the WorkOne.

### **Failure to Participate (FTP)**

Upon completion of scheduled orientations, staff will notify designated UI staff at DWD of UI claimants who did not report, participate, or meet program requirements. The designated unemployment insurance staff at DWD will then enter and adjudicate a 'reporting requirement' issue created especially for the RESEA program.

### **Service Entry**

All services with the appropriate corresponding completion codes, including failures to participate will be entered into ICC in accordance with the Service Entry section above.

### **Case Notes**

All activity relevant to the RESEA UI Claimant and their participation in RESEA and/ or any other WorkOne Initial RESEA and/ WorkOne services must be case noted in accordance with the Case Notes section above.

### **Reporting**

Reports on program performance and management are available in ICC: Reports> Custom Reports> Locally Developed> Indiana> then select desired report. This may be exported to Excel for easier review and data handling.

### **Automation**

It is the intent of DWD to automate as much of the RESEA process as possible so WorkOne staff can focus on providing value added services to these claimants to accomplish the main goal of the program, which is to assist claimants in their efforts to return to suitable employment as quickly as possible.

### **Subsequent RESEA**

#### **Claimant Pool and Notification**

ICC will generate a 'pool' of claimants each week for those claimants who have filed for a fifteenth (15<sup>th</sup>) week of UI benefits. The SUB RESEA Reassessment Interview must be completed by the nineteenth (19<sup>th</sup>) week from filing for UI. Those most likely to exhaust UI are selected for SUB RESEA.

- Each WorkOne office providing RESEA services must create an adequate number of events with sufficient capacity to serve those selected for SUB RESEA in that location.
- Claimant pools must be managed and necessary adjustments made to events and event capacity every Monday and Thursday prior to the End of Business (EOB) on those days.

This allows ICC to incorporate the adjustments into the automated scheduling process that run on those evenings.

During periods of high claim activities when the number of selected claimants for SUB RESEA exceeds the weekly capacity of an office, an exception to the seventeen (17) week SUB RESEA completion deadline will be warranted. In these cases, WorkOne Centers may schedule claimants up to two (2) weeks in the future nineteen (19) weeks, to manage the workload. Any further adjustment must be approved by the Director of RES Programs.

### **Mail**

The letter will be printed and mailed at such a time (14 to 22 days before the scheduled event) that claimants will have a minimum of seven (7) days advance notice of the day they are to report to the WorkOne Center.

- Only notification letters approved by the Director of RES programs from ICC may be sent.
- Letters must be printed and mailed to claimants every Tuesday and Friday before 12pm noon, instructing UI Claimants to complete the following:
  - Bring:
    - a copy of the Four (4) week Work Search log completed with
    - your most recent 4 weeks of job search,
    - A valid picture ID,
    - a copy of your current ICC resume(s) and
    - Update your registration in ICC prior to your appointment
- Email notification of program selection is planned to be implemented in the near future. Refer to above section titled Letter Printing and Mailing.

### **Claimant reports to WorkOne for Reassessment Interview**

If the claimant does not report as instructed or if the claimant fails to participate in any requirement of the program, then the RESEA Coordinator or case manager must complete the FTP function as outlined in the above section titled Failure to Participate.

### **Re-verify claimant identity with a valid state or federal picture ID**

- An affidavit will be provided for those without suitable identification.
- The requirement to return with suitable ID within two (2) weeks will be added to the SUB IRP.

### **Conduct Reassessment Interview (1:1 with case manager).**

- Covering job search topics in a group setting is acceptable. However, there will be some job search topics that require individual attention. UIPL 3-17 Section 8 addresses the requirement to provide “an appropriate level of service suited to each individual claimant.”
- Discuss upcoming expiration of UI and current options.
- Review and document Job Search Log activities from the past four (4) weeks.
  - A copy of all job search logs must be kept in the claimants paper file and/ or scanned into the documents section of their ICC profile.
- Provide updated Labor Market Information (LMI) and career information that addresses the claimant’s individual needs (TORQ). The occupation and/ or industry shared must be case noted.
- Develop SUB RESEA IRP
  - The SUB IRP must be tailored with specific steps to meet claimant’s individual needs that are most likely to result in reemployment or referral to career-related training.

- This includes work search activities, accessing WorkOne services or using self-service tools, and/or approved training.
  - Any SUB RESEA Reemployment Workshops should occur as soon as possible from RI.
  - Any initial additional assessments and/or assignments should occur as soon as possible from reassessment interview.
- Must have the claimant's and case manager's original signature and date the document was created and/or updated.
- Case Manager must give claimant a copy of the signed and dated SUB IRP and case note this was done.
- Case Manager must keep the original signed SUB IRP and store it as a scanned image in the claimant's document section of their ICC profile or store it in the claimant's paper file and case note this was done.
- Refer claimant as appropriate to other career services.
- Make any additional assignments deemed necessary by the case manager.
- Follow up with claimant and ensure claimant completed all requirements.
- Approximately two weeks after the Reassessment Interview or approximately one week after the final RES event conduct "Final Review" to ensure claimant has completed all requirements.
- If all requirements have not been completed the case manager should contact the claimant to address deficiencies.

### **Progress**

WorkOne staff will review work search documentation to determine whether unemployment insurance claimants are making acceptable work search efforts based on the individual claimant's experience, education, and/or relevant labor markets. If acceptable work search efforts are not being made, WorkOne staff should explain the requirement in DWD Policy 2011-04, Continuing Eligibility for Regular State Unemployment Benefits. Unemployment insurance claimants seeking work search assistance should be directed to job seeking skills workshops offered in the WorkOne.

### **Failure to Participate (FTP)**

Upon completion of scheduled orientations, staff will notify designated UI staff at DWD of all claimants FTP status for those who did not report, participate or meet program requirements as outlined in the above section titled Failure to Participate. The designated unemployment insurance staff at DWD will then enter and adjudicate a 'reporting requirement' issue created especially for the RESEA/ SUB RESEA program.

### **Service Entry**

All services with the appropriate corresponding completion codes, including failures to participate will be entered into ICC in accordance with the above section titled Service Entry.

### **Case Notes**

All activity relevant to the SUB RESEA UI Claimant and their participation in SUB RESEA and/ or any other WorkOne Initial RESEA and/ WorkOne services must be case noted in accordance with the above section titled Case Notes.

### **Reporting**

Reports on program performance and management are available in ICC: Reports> Custom Reports> Locally Developed> Indiana> then select desired report. This may be exported to Excel for easier review and data handling.

## Automation

It is the intent of DWD to automate as much of this process as possible so WorkOne staff can focus on providing value added services to these claimants to accomplish the main goal of the program, which is to assist claimants in their efforts to return to suitable employment as quickly as possible.

## Effective Date

This policy is effective as of January 31, 2018. New unemployment insurance claims filed on or after April 1, 2016 are subject to this program. While currently 100% of selected UI claimants are currently being assigned to the RESEA program, Jobs For Hoosiers (JFH) may be utilized from 0-100% of those selected for participation in a RES program. Whatever level the percentage is set at, the population of claimants selected for RES programs will be assigned with those most likely to exhaust UI going to RESEA and those less likely to exhaust UI going to JFH accordingly. Every reasonable effort will be made to communicate any changes in this proportion to the field far enough in advance to allow for operational adjustments.

## Ending Date

Upon rescission.

*There will be updates to the policy in PY18 as automation enhancements change procedures.*

## Contact for Questions

[policy@dwd.in.gov](mailto:policy@dwd.in.gov)

OR

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## Action

Implementation of Reemployment Services and Eligibility Assessment (RESEA) and Subsequent Reemployment Services and Eligibility Assessment (SUB RESEA).